

	JUSTICE CABINET DEPARTMENT OF JUVENILE JUSTICE POLICY AND PROCEDURES	REFERENCES: 505 KAR 1:140 3-JDF-1E-01, 02, 04, 05, 06, 07, 08; 4C-46, 47, 48; 5H- 04
CHAPTER: Detention Services		AUTHORITY: KRS 15A.065
SUBJECT: Individual Client Records		
POLICY NUMBER: DJJ 705		
TOTAL PAGES: 4		
DATE ISSUED: July 15, 2005		EFFECTIVE DATE: 02/03/06
APPROVAL: Bridget Skaggs Brown		, COMMISSIONER

I. POLICY

Department staff shall maintain appropriate, accurate documentation regarding all aspects of each youth's case record. Resident case records management shall include, at minimum, the establishment, use and content of youth records, right to privacy, secure placement of records and a schedule for retiring and destroying inactive records.

II. APPLICABILITY

This policy shall apply to all state-operated detention centers and community based alternative to detention programs.

III. DEFINITION

Not Applicable

IV. PROCEDURES

- A. The Youth Worker Supervisor or designee shall be responsible for the establishment and maintenance of the Individual Client Record.
- B. Each youth's case record shall be maintained according to the following outline. Information in each section shall be filed in chronological order except where otherwise noted. Any information that clearly does not fit in one of the following categories shall be filed under miscellaneous:

1. Section I:

- a. Court Documents, Authority to Accept/Release or Discharge
- b. Initial Intake Information
- c. Birth Record
- d. Social Security Card
- e. DSS-115, Report of Suspected Child Abuse or Neglect or Dependency

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- f. Resident Personal Property Inventory
- g. Release of Information Forms
- h. Signed Statement of Understanding of Rights and Rules
- i. Grievances

2. Section II

- a. Assessment Data, including case history/social history, if available
- b. Alternative to Secure Detention Program data, if applicable

3. Section III

- a. Incident Reports
- b. Staff Alert Forms
- c. Behavior Contracts
- d. Special Watch Forms

4. Section IV

- a. Resident Progress Notes
- b. Release Summary

5. Section V.

- a. Resident Phone Log
- b. Miscellaneous Correspondence, to include referrals to other agencies
- c. Other facility records, if applicable

6. Section VI:

Records of Previous Detainment(s)

- C. All youth records shall be clearly marked "Confidential".
- D. All youth records shall be kept in locked file cabinets which are marked "Confidential". All file cabinets and offices containing youth records shall be locked at the end of each working day and when the office is left unattended. When staff remove youth records from the file room it shall be documented on the sign-in/sign-out sheet.
- E. When youth records are in staff offices, they shall be either under the direct control of the assigned staff or placed out of sight of youth or public who may be in the office.
- F. Staff shall not take Individual Client Records off the premises except when subpoenaed or required in court cases.
- G. Access to records and files shall be restricted to:
 - 1. The youth's attorney;
 - 2. Judges, prosecutors and law enforcement officers when essential for official business;

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3. Direct Care Staff , Counselors, Supervisors, Administrative Secretary, and Administrators in the Detention Facility;
 4. Detention Alternative Coordinator;
 5. Child Abuse Investigators;
 6. Agency or contracted medical personnel; and
 7. Individuals and agencies for the express purpose of conducting research, evaluative or statistical studies—if the proper consent has been obtained per DJJPP 127 and approval granted by the Facility Superintendent.
- H. Maintenance of Computerized Information: Some information such as intake/release information may be placed on the computer. The VINE automated victim notification services uses the computer to send information about serious offenders to notify victims of their location. Information maintained in the computer shall be “password protected”; only designated staff shall have authority for access. The Detention staff shall be responsible for entering, making back-up disks and ensuring the confidentiality and safekeeping of such information.
- I. Documentation in case records shall be legible; written in ink, typewritten, or computer processed; identified by heading and dated and signed by the individual making the entry. Delayed entries shall be clearly marked as such.
- J. Care shall be taken to avoid errors on documentation to be entered into the case record. If errors are made, a line shall be drawn through the incorrect information and the staff making the change shall put their initials beside the change. No whiteout or other means shall be used to fully obscure the error.
- K. Documents entered into case records shall be filed in chronological order within the appropriate section and identified as to the source, verification and confidentiality of each entry.
- L. All entries made in the youth’s case record shall be legible; dated; identified by heading; and signed by the staff making the entry.
- M. If another youth must be identified in a youth’s case record for any reason other than on the Special Notice Form used for classification purposes, that youth shall be identified by first name and initial of the last name only.
- N. Care shall be taken to limit access of all records to those who have a right or a need to know specific information.

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O. Others who wish access to records, including the youth or their families, shall make a written request as outlined in DJJPP 132.1. Contract agencies shall develop a procedure pertaining to their agency.

P. In preparing for the release of a youth:

1. All records maintained in the living areas or supervisor's office shall be placed in the youth's Individual Client Record. Unless the youth is being released for placement into a DJJ operated program, all information in Sections I-V shall be moved to Section VI, Previous Records of Detainment.
2. Youth released for placement into a DJJ operated residential program shall have their original Individual Client Record and Medical Record transferred to the receiving facility at the time of placement or at the latest within 24 hours of placement. A sealed copy of the record may be retained by the detention facility.

Q. Schedule for Retiring and Destroying Inactive Records: All records shall be managed according to the Record Retention and Disposal Manual of the State Archives and Record Commission, Public Records Division.

V. MONITORING MECHANISM

Monitoring shall be the responsibility of the Facility Superintendent or designee.